

Attorney Docket No. :

210121.475C7

First Named Inventor:

Steven G. Reed

As a below-named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below under my name. I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

#### COMPOSITIONS AND METHODS FOR THE THERAPY AND DIAGNOSIS OF LUNG CANCER

which is described and claimed in the specification and claims of continuation-in-part (C-I-P) Patent Application No. 09/667,170, as filed in the United States Patent and Trademark Office on September 20, 2000 ("this application") for which a patent is sought. I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment specifically referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. § 1.56.

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or under 35 U.S.C. § 365(c) of any PCT international application(s) designating the United States of America, as listed below ("the parent applications") and insofar as the subject matter of each of the claims of this application is not disclosed in at least one of the below-listed United States or PCT International parent applications in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge my duty to disclose information of which I am aware which is material to the patentability of this application in accordance with 37 C.F.R § 1.56, including material information which became available between the filing date of any of the below-listed parent applications and the national or PCT international filing date of this (C-I-P) application.

| U.S. Parent Application or PCT Parent Number | Parent Filing Date<br>(MM/DD/YYYY) | Parent Patent<br>Number | Attorney Docket<br>Number |
|--|------------------------------------|-------------------------|---------------------------|
| 09/640,878                                   | 8/18/00                            |                         | 210121.475C6              |
| 09/588,937                                   | 6/05/00                            |                         | 210121.475C5              |
| 09/538,037                                   | 3/29/00                            |                         | 210121.475C4              |
| 09/518,809                                   | 3/3/00                             |                         | 210121.475C3              |
| 09/476,235                                   | 12/30/99                           |                         | 210121.475C2              |
| 09/370,838                                   | 8/9/99                             |                         | 210121.475C1              |
| 09/285,323                                   | 4/2/99                             |                         | 210121.475                |

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Steven G. Reed

Date 14 May 2000

Residence : City of Bellevue, County of King

State of Washington

Citizenship : United States of America

P.O. Address : 2843 – 122<sup>nd</sup> Place Northeast

Bellevue, Washington 98005

| Midral Jodas   |
|--|
| Michael J. Lodes   |
| Date 5-16-200 ( Residence : City of Seattle, County of King State of Washington  |
| Citizenship : United States of America  P.O. Address : 9223 – 36 <sup>th</sup> Avenue Southwest Seattle, Washington 98126  Raodoh Mohamath |
| Date S   O   City of Seattle, County of King State of Washington   |
| Citizenship : United States of America P.O. Address : 4205 South Morgan Seattle, Washington 98118  |
| Heather Secrist  |
| Date S   Y   City of Seattle, County of King State of Washington   |
| Citizenship P.O. Address  United States of America  3844 – 35 <sup>th</sup> Avenue West Seattle, Washington 98199                          |
| Darin R. Benson  |
| Date S / I ( ) ( ) ( ) ( ) ( ) ( ) ( ) ( ) ( ) (   |
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| Carol Individu  |
|---|
| Carol Yoseph Indirias   |
| 01.01   |
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| Citizenship : United States of America  |
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| Robert A. Henderson   |
| Date 5/16/200   City of Edmonds, County of Snohomish State of Washington  |
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| J. P. Anj   |
| Steven P. Fling / 22 / 200 (  |
| Date State of Washington  State of Washington   |
| Citizenship : United States of America P.O. Address : 11414 Pinyon Avenue Northeast Bainbridge Island, WA 98110         |
| Pelekan   |
| Paul A. Algate  |
| Date S 21 01  Residence : City of Issaquah, County of King  State of Washington   |
| Citizenship : United States of America  P.O. Address : 580 Kalmia Place Northwest Issaquah, WA 98027                    |

| Mary w          | Ellist |
|-----------------|--------|
| Mark W. Elliott |        |

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Citizenship P.O. Address United States of America 10800 26<sup>th</sup> Avenue Southwest

Seattle, WA 98146

Jane Mannion

Residence

City of Edmonds, County of Snohomish

State of Washington

Citizenship

P.O. Address

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Edmonds, WA 98026

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#### EXPRESS MAIL LABEL NO. EL773187115US



**PATENT** 

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**Applicants** 

Steven G. Reed et al.

Application No.

09/667,170

Filed

September 20, 2000

For

COMPOSITIONS AND METHODS FOR THE THERAPY AND

DIAGNOSIS OF LUNG CANCER

Docket No. : 210121.475C7

**Box Missing Parts** Commissioner for Patents Washington, DC 20231

### ELECTION UNDER 37 C.F.R. §§ 3.71 AND 3.73 AND POWER OF ATTORNEY

The undersigned, being Assignee of the entire interest in the above-identified application by virtue of an Assignment filed concurrently herewith, hereby elects, under 37 C.F.R. § 3.71, to prosecute the application to the exclusion of the inventors.

Assignee hereby appoints Richard W. Seed, Reg. No. 16,557; George C. Rondeau, Jr., Reg. No. 28,893; David H. Deits, Reg. No. 28,066; William O. Ferron, Jr., Reg. No. 30,633; Richard G. Sharkey, Reg. No. 32,629; David V. Carlson, Reg. No. 31,153; Karl R. Hermanns, Reg. No. 33,507; Michael J. Donohue, Reg. No. 35,859; Jane E. R. Potter, Reg. No. 33,332; Robert Iannucci, Reg. No. 33,514; Lorraine Linford, Reg. No. 35,939; David W. Parker, Reg. No. 37,414; E. Russell Tarleton, Reg. No. 31,800; Ellen M. Bierman, Reg. No. 38,079; Brian G. Bodine, Reg. No. 40,520; Robert M. Ward, Reg. No. 26,517; Frank Abramonte, Reg. No. 38,066; Kevin S. Costanza, Reg. No. 37,801; Thomas E. Loop, Reg. No. 42,810; Stephen J. Rosenman, Reg. No. 43,058; Brian L. Johnson, Reg. No. 40,033; Susan D. Betcher, Reg. No. 43,498; William T. Christiansen, Reg. No. 44,614; Eric J. Gash, Reg. No. 46,274; Jeffrey C. Pepe, Reg. No. 46,985; Charles J. Rupnick, Reg. No. 43,068; Timothy L. Boller, Reg. No. 47,435; and James M. Verna, Reg. No. 33,287; comprising the firm of Seed Intellectual Property Law Group PLLC, 701 Fifth Avenue, Suite 6300, Seattle, Washington 98104-7092, and Cynthia L. Shumate, Reg. No. 38,303; Kathleen Nora McKereghan, Reg. No. 41,985; Jeff E. Hundley, Reg. No. 42,676; and Gary M. Myles, Reg. No. 46,209, as its attorneys to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. Please direct all telephone calls to Jane E. R. Potter at (206) 622-4900 and telecopies to (206) 682-6031.

Please direct all communications to:

Jane E. R. Potter, Esq. Seed Intellectual Property Law Group PLLC 701 Fifth Avenue, Suite 6300 Seattle, Washington 98104-7092

Pursuant to 37 C.F.R. § 3.73, the undersigned duly authorized designee of Assignee certifies that the evidentiary documents have been reviewed, specifically the Assignment to Corixa Corporation filed concurrently herewith for recording, a copy of which is attached hereto, and certifies that to the best of my knowledge and belief, title remains in the name of the Assignee.

Corixa Corporation ASSIGNEE

91/01

DATE

Kathleen Nora McKereghan

Vice President, General Counsel and Secretary

Enclosure:

Copy of Assignment

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# ASSIGNMENT OF UTILITY PATENT APPLICATION

| WHEREAS               | we,   |               |
|-----------------------|---|---------------|
| Name                  | Post Office Address  Polleyne Washington 98005  | ;             |
| Steven G. Reed        | 2843 – 122 <sup>nd</sup> Place Northeast, Bellevue, Washington 98005  9223 – 36 <sup>th</sup> Avenue Southwest, Seattle, Washington 98126 | ;             |
| Michael J. Lodes      | 9223 – 36 <sup>th</sup> Avenue Southwest, Seattle, 4205 South Morgan, Seattle, Washington 98118   | ;             |
| Raodoh Mohamath       | 3844 – 35 <sup>th</sup> Avenue West, Seattle, Washington 98199  | ;             |
| Heather Secrist       | 723 North 48 <sup>th</sup> Street, Seattle, Washington 98103  | <del> ;</del> |
| Darin R. Benson       | 1541 Northwest 52 <sup>nd</sup> Street, Seattle, Washington 98107   | <del> ;</del> |
| Carol Yoseph Indirias | 2004 102nd Street Southwest, Edmonds, WA 98020  | <del> ;</del> |
| Robert A. Henderson   | 11414 Pinyon Avenue Northeast, Bainbridge Island, WA 76116  | ;             |
| Steven P. Fling       | 580 Kalmia Place Northwest, Issaquah, WA 98027  | ; and         |
| Paul A. Algate        | 10800 26th Avenue Southwest, Seattle, WA 98146  |               |
| Mark W. Elliott       | 8904 – 192 <sup>nd</sup> Street Southwest, Edmonds, WA 98026  |               |
| Jane Mannion          | ti di above nev   | rt to         |

(hereinafter referred to as ASSIGNORS), having post office addresses as listed above next to our names, are the joint inventors of an invention entitled

## COMPOSITIONS AND METHODS FOR THE THERAPY AND DIAGNOSIS OF LUNG CANCER

which is described and claimed in the specification and claims of continuation-in-part (C-I-P) Patent Application No. 09/667,170, as filed in the United States Patent and Trademark Office on September 20, 2000 ("this application") for which a patent is sought. This application derives benefit from the following application(s):

| U.S. Parent Application or PCT Parent Number | Parent Filing Date<br>(MM/DD/YYYY) | Parent Patent<br>Number | Attorney Docket<br>Number |
|--|------------------------------------|-------------------------|---------------------------|
| 09/640,878                                   | 8/18/00                            |                         | 210121.475C6              |
| 09/588,937                                   | 6/05/00                            |                         | 210121.475C5              |
| 09/538,037                                   | 3/29/00                            |                         | 210121.475C4              |
| 09/518,809                                   | 3/3/00                             |                         | 210121.475C3              |
| 09/476,235                                   | 12/30/99                           |                         | 210121.475C2              |
| 09/370,838                                   | 8/9/99                             |                         | 210121.475C1              |
| 09/285,323                                   | 4/2/99                             |                         | 210121.475                |

WHEREAS, Corixa Corporation (hereinafter referred to as ASSIGNEE), a corporation of the State of Delaware having a place of business at 1124 Columbia Street, Suite 200, Seattle, Washington 98104, is desirous of acquiring the entire right, title and interest in and to said invention, this application, and in and to any Letters Patent that may be granted therefor in the United States and in any and all foreign countries;

NOW, THEREFORE, in exchange for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNORS hereby sell, assign and transfer unto said ASSIGNEE, the entire right, title and interest in and to said invention, this application and any and all Letters Patent which may be granted therefor in the United States of America and its territorial possessions and in any and all foreign countries, and in any and all divisions, reissues and continuations thereof, including the right to file foreign applications directly in the name of ASSIGNEE and to claim priority rights deriving from this application and said parent application(s) to which said foreign applications are entitled by virtue of international convention, treaty or otherwise; said invention, this application and all Letters Patent on said invention to be held and enjoyed by ASSIGNEE and its successors and assigns for their use and benefit and of their successors and assigns as fully and entirely as the same would have been

held and enjoyed by ASSIGNORS had this assignment, transfer and sale not been made.

ASSIGNORS hereby authorize and request the Director of the Patent and Trademark Office to issue said United States Patent to ASSIGNEE, of the entire right, title and interest in and to the same, for its sole use and benefit, and for the use and behalf of its legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by us had this assignment and sale not been made.

ASSIGNORS agree to execute all instruments and documents required for the making and prosecution of applications for United States and foreign Patent on said invention, for litigation regarding said Patent, or for the purpose of protecting title to said invention or Patent therefor.

| 16 m        | en 2001                       | che Reed   |
|-------------|-------------------------------|--|
| Date        |                               | Signature of Steven G. Reed  |
| State of    | WASHINGTON                    |  |
| County of _ | KIN6 )                        | SS.  |
|             | appeared before me, and said  | eve satisfactory evidence that Steven G. Reed is the person acknowledged that he signed this instrument act for the uses and purposes mentioned in the |
|             | Dated                         | May 16, 2001   |
|             | Signature of<br>Notary Public | c Hendre I Bujan   |
|             | Printed Name                  | e DERDRE I. BRYCIJ   |
|             | My appointm                   | nent expires9/1/02   |

| 5-,          | 16-2001   |  | Midwel Toles   |
|--------------|---|--|--|
| Date         | · <del>V _ · · · · · · · · · · · · · · · · · · </del> |  | Signature of Michael J. Lodes  |
| State of     | WASHINGT<br>KING                                      | O N)                                   | SS.  |
| person who a | ppeared before  | me, and said p                         | re satisfactory evidence that Michael J. Lodes is the person acknowledged that he signed this instrument untary act for the uses and purposes mentioned in the |
|              |   | Dated<br>Signature of<br>Notary Public | /N V   |
|              |   | Printed Name                           | DEIRURE I. BRYAN   |
|              |   | My appointme                           | ent expires $\frac{9/\sqrt{02}}{}$   |
| Date 5       | 16/01   | (                                      | Signature of Raodoh Mohamath   |
| State of     | WASHINGT<br>KING                                      | 0 N                                    | ss.  |
| County of _  |   | )                                      |  |
|              | ppeared before  | me, and said p                         | e satisfactory evidence that Raodoh Mohamath is the person acknowledged that she signed this instrument untary act for the uses and purposes mentioned in the  |
|              |   | Dated                                  | Thay 16, 2001  |
|              |   | Signature of<br>Notary Public          | : Neudie I Oyan  |
|              |   | Printed Name                           |  |
|              |   | My appointme                           | ent expires $9/(02$  |

| 5-17-01  | -  |
|--|----|
| Date Signature of Heather Secrist  |    |
| State of WASHINGTON  |    |
| County of KIN6 ) ss.   |    |
| I certify that I know or have satisfactory evidence that Heather Secrist is the person who appeared before me, and said person acknowledged that she signed this instrument and acknowledged it to be her free and voluntary act for the uses and purposes mentioned in the            | nt |
| instrument.  |    |
| Signature of Notary Public  Printed Name   |    |
| My appointment expires   |    |
| 5/16/01 Van R. Ban   |    |
| Date Signature of Darin R. Benson WASHINGTON   |    |
| State of   |    |
| I certify that I know or have satisfactory evidence that Darin R. Benson is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument. | nt |
| Dated  |    |
| Signature of Notary Public Mendu Tryun   |    |
| Printed Name DENDAL BRYAN  |    |
| My appointment expires9// 02   |    |

| 06.          | 01.01           | Cawl Indirial  |
|--------------|-----------------|--|
| Date         |                 | Signature of Carol Yoseph Indirias   |
| State of     | WASHING<br>KING | ) ss.  |
| instrument a | who appeared    |  |
|              |                 | Signature of Notary Public Verille Joyan   |
|              |                 | Printed Name $9/\sqrt{02}$ My appointment expires $9/\sqrt{02}$  |
|              | 5/16120         | ci Metalfol  |
| Date         |                 | Signature of Robert A. Henderson   |
| State of     | WASHINGT        | ON   |
| County of    | K 1 N G         | ) ss.<br>)   |
|              | appeared before | I know or have satisfactory evidence that Robert A. Henderson is the re me, and said person acknowledged that he signed this instrumenthis free and voluntary act for the uses and purposes mentioned in the |
|              |                 | Dated May 16 2001  |
|              |                 | Signature of Notary Public   |
|              |                 | Printed Name   |
|              |                 | My appointment expires   |

| 5/22/01                             | 21.2   |
|-------------------------------------|--|
| Date (                              | Signature of Steven P. Fling   |
| State of KING                       | ON)<br>)<br>) ss.  |
| County of                           | )  |
| person who appeared before          | I know or have satisfactory evidence that Steven P. Fling is the me, and said person acknowledged that he signed this instrument is free and voluntary act for the uses and purposes mentioned in the Dated  Signature of Notary Public  Printed Name  My appointment expires 9/1/22 |
| Date  WASHINGT  State of  County of | )<br>) ss.<br>)  |
| person who appeared before          | I know or have satisfactory evidence that Paul A. Algate is the me, and said person acknowledged that he signed this instrument is free and voluntary act for the uses and purposes mentioned in the Dated  Signature of Notary Public  Printed Name  My appointment expires  9/1/02 |

| 5/18/01                    | Mary w Elledt  |
|----------------------------|--|
| Date                       | Signature of Mark W.Elliott  |
| State of WASHINGTI         | ) ss.  |
| County of KING             |  |
| person who appeared before | I know or have satisfactory evidence that Mark W. Elliott is the me, and said person acknowledged that he signed this instrument is free and voluntary act for the uses and purposes mentioned in the Dated    Dated |
| Date WASHINGTO             | Signature of Jane Mannion  |
| County of KING             | ) ss.<br>)   |
| who appeared before me, a  | know or have satisfactory evidence that Jane Mannion is the person and said person acknowledged that she signed this instrument and tree and voluntary act for the uses and purposes mentioned in the                |
|                            | Dated 14, 2001   |
|                            | Signature of Notary Public August Syave  |
|                            | Printed Name DERDRE L. BRY A. J.   |
|                            | My appointment expires $9/\sqrt{2}$  |

L:\210121 - Corixa\475c7\Formal Documents\475C7-Assn.doc